Controlling APS Documents

Changes made in this revision:

- In Scope section, added on-line data logs that are part of beamline/facility controls and data acquisition systems will be controlled by the group responsible for the beamline/facility and the logs need not be controlled through ICMS
- In Scope section, added reference to Managing APS Facility Procedures and its document control requirements
- Updated title page, including list of reviewers, updated headers, and other formatting and non-substantive edits

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Controlling APS Documents

Purpose

This document describes the APS standards for management/control of facility documents at the APS.

Scope

If an APS document is required to maintain a safe work environment and reliable and efficient operations, including work planning and controls, then the group/person responsible for the document shall maintain the document in one of the following repositories:

1) The APS Integrated Content Management System (ICMS),
2) The PRO*Intralink database,
3) The Document Control Center (DCC), or
4) Group/division/ALD accessible central files if: 1) the document cannot reasonably be loaded into the APS ICMS and 2) allowed by the line supervisor responsible for the documents.

Documents that can be generated from the APS Oracle database or PRO*Intralink database need not be controlled in the ICMS provided the system can generate an exact duplicate.

Note: The APS Oracle database is a repository where much of the data entered via web interfaces is stored. The web address of Oracle applications begins with http(s)://beam.aps.anl.gov/pls/…

Documents maintained in Argonne-wide systems should not be duplicated in the APS systems. These include, but are not limited to, Lab-wide financial, HR, and accounting documents; purchase and AMOS requisitions/orders; and iCatch entries.

On-line data logs (logbooks, lab books, and data loggers data bases) that are part of beamline/facility controls and data acquisition systems will be controlled by the group responsible for the beamline/facility and the logs need not be controlled through ICMS.

APS procedures identify the specific documents that are generated as a part of the procedure (Managing APS Facility Procedures), who is responsible for them, how they are kept (indexing/media), and how long they are to be retained. Documents should be retained while they have value for the APS or APS stakeholders and for periods consistent with DOE/Argonne requirements.

Determining if a Document Needs to be Controlled

If a person is unavailable, and if their absence results in the unavailability of documents that could adversely impact the safety or operations of the APS, then these documents must be maintained in one of the repositories listed in the Scope section of this document.

Line managers are responsible for ensuring that their organization has implemented controls for safety/mission-critical documents. APS managers shall ensure that documents for which they are responsible are:

- complete and kept current,
- available to workers who use them and to others that might need them in the future, and
- maintained in one of the repositories listed in the Scope section of this document.

A graded approach is required in the implementation of this policy. More rigor is required for safety/mission-critical documents than for documents that have limited safety or operational impact on APS operations or on experimental activities. For example, every e-mail need not be controlled, but if it obligates an APS organization to a commitment, then it should be controlled.

Controlled documents contributed to the ICMS should be input in accordance with *ICMS Contribution Guidelines*. For documents in ICMS, the latest released revision of a document in the ICMS is the record copy.

APS Repositories for Controlled Documents

1. APS Integrated Content Management System

- Safety committee documents (committee chair)
  - Meeting minutes
  - Official correspondence
  - Materials submitted for reviews
  - The committee's charter and current membership list

- Safety-related documents
  - APS Work/Project Checklist (APS Site Operations Group Leader)
  - Design and facility safety reviews (chair of the review)
    - Materials submitted for reviews
    - Review committee reports
    - Follow-up/action item closeout
  - Facility inspection reports (when not in iCatch) (inspecting ESH Coordinator)
  - Non-beamline experiment authorization (Division ESH Coordinator)

- Operations-related documents (line manager responsible for the facility)
  - Design and facility technical system reviews
    - Materials submitted for reviews
    - Review committee reports
    - Follow-up/action item closeout

- Agreements
  - An agreement with APS obligations – including memorandum of understandings, e-mail of organization commitments, etc. (author of the agreement)
  - User agreements (APS User Agreement Specialist)

- APS Policies and Procedures (APS Policy and Procedure Administrator)
  - These are maintained in the ICMS as defined in *Managing APS Facility Procedures*, APS_1001409

2. APS Document Control Center

The following documents are controlled in the APS Document Control Center (DCC):

- Engineering Drawings, paper record copies only (responsible engineer)
  - Working copies may be maintained in the PRO*Intralink database (or its successor)

- Paper record copies of Engineering Drawings not contributed to PRO*Intralink should be maintained in the DCC

Note that paper record copies are those with formal approval, e.g., approval signatures.

3. APS Oracle Database

Data/information maintained in the APS Oracle database include:

- User Data (User Administrator)
  - User registration data
  - General User Program proposals
  - General User Program reviews
  - General User Program beam-time requests, and allocation records

- Experiment safety reviews (User Safety Officer)
  - Experiment Safety Assessment Forms
  - Experiment hazard control plan

- On-line experiment approvals

- Work requests (MIS ADD)
  - Work request
  - On-line approval

- APS Project Proposals (APS Project Engineer)

Corrections/Opportunities for Improvement

Anyone viewing a document in the ICMS shall advise the document author if there are errors or omissions.

References - Source Requirements

Central APS Integrated Content Management System (ICMS)
(https://icmsdocs.aps.anl.gov/new_docs/)

ICMS Contribution Guidelines
(https://icmsdocs.aps.anl.gov/new_docs/idcplg?IdcService=DISPLAY_URL&dDocName=APS_1192182)

LMS-PROC-1, Implementation of Document Control Requirements
(https://docs.anl.gov/lms/documents/browse/governance/LMS-PROC-1)

Any improvements or corrections to this procedure may be submitted here
(http://www.aps.anl.gov/Internal/Policies_and_Procedures/comment_form.php)